

RECEIVED

2 2 2001

#2

Technology Center 2100

Page 1 of 7

Form PTO-1049

(MODIFIED)

U.S. DEPARTMENT OF  
COMMERCE  
PATENT AND TRADEMARK  
OFFICE

ATTY. DOCKET NO.

230074.0230

SERIAL NO.

09/648,502

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

Mark E. Redding, et al.

FILING DATE

08/25/2000

GROUP ART UNIT

2185

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
pm ↓	1	4,652,990	03/24/87	Pailen et al.			
	2	4,658,093	04/14/87	Hellman			
	3	4,685,055	08/04/87	Thomas			
	4	4,754,395	06/28/88	Weisshaar et al.			
	5	4,780,821	10/25/88	Crossley			
	6	4,791,565	12/13/88	Dunham et al.			
	7	4,796,220	01/03/89	Wolfe			
	8	5,146,575	09/08/92	Nolan, Jr.			
	9	5,390,297	02/14/95	Barber et al.			

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

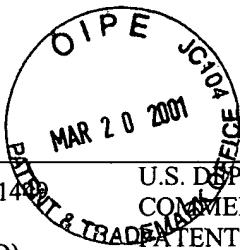
pm ↓	10	PC Week, "Strength in Numbers", Vol. V3, July 1986, p.57.						
	11	Digital Review, "Apollo Licenses Concurrent Users on Entire Network", Vol. 4, No. 20, October 26, 1987, p.6.						
	12	IBM Technical Disclosure Bulletin, "Software Serial Number", Vol. 26, No. 7B, December 1983, pp. 3918-3919.						
	13	Chovan, J., "Handling Site-License Agreements and Public Domain Software Packages: What are the Issues?", ACM SIGUCCS Conference, Toledo, Ohio, Sep. 30-Oct. 4, 1985, pp. 175-179.						
	14	Brown, B., "Microcomputer Software Exchange at Michigan State University", ACM SIGUCCS Conference, Toledo, Ohio, Sep. 30-Oct. 4, 1985, pp. 185-197.						
	15	Halaris, A., Sloan, L., "Networked Microcomputers: New Challenges For Computing Center Management", SIGUCCS Newsletter, Vol. 13, No. 4, Winter 1983, pp. 20-26.						

EXAMINER

DATE CONSIDERED

3/6/04

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.



RECEIVED

MAR 22 2001

Technology Center 2100 Page 2 of 7

Form PTO-1449  
(MODIFIED)U.S. DEPARTMENT OF  
COMMERCE  
PATENT AND TRADEMARK  
OFFICE

ATTY. DOCKET NO.

230074.0230

SERIAL NO.

09/648,502

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

Mark E. Redding, et al.

FILING DATE

08/25/2000

GROUP ART UNIT

2185

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO

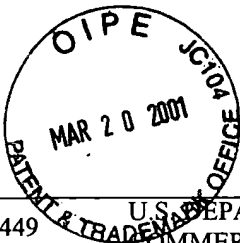
## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

16	Gerber, H., Pringle, G., "Instructional Computing and Local Area Networking", SIGUCCS Newsletter, Vol. 17, No. 2, Summer 1987, pp. 8-13.
17	Kreutzer, A., "An On-Line System For Controlling and Monitoring Software Usage in a Microcomputer Laboratory", SIGUCCS Newsletter, Vol. 18, No. 2, Summer 1988, pp. 29-32.
18	Allen, K., "Software Lending Library", ACM-SIGUCCS XII, Conference Proceedings, Nov., 1984, pp. 171-172.
19	InfoWorld, "FST Introduces a Copy Protection Scheme For Nets", Vol. 7, No. 7, Nov. 25, 1985, p. 14.
20	Micro Communications, "Software Protection", Vol. 2, No. 5, May, 1985, pp. 35-37.
21	PC World, "LAN Licensing Lags", Vol. 3, No. 11, Nov. 1985, pp. 320, 324, 328.
22	Rifkin, A. et al, "RFS Structural Overview", USENIX Summer Conference Proceedings, Atlanta, Ga., June 9-13, 1986, pp. 248-259.
23	Gould, E., "The Network File System Implemented on 4.3BSD", USENIX Conference, Atlanta, Ga., June 9-13, 1986, pp. 294-298.
24	Software News, "The Promise of LANS: MIS Back in Control", pp. 51-54, 56-58.
25	IBM Technical Disclosure Bulletin, "Device/Profile Installation Procedure with Validation", Vol. 28, No. 4, September 1985, p. 1487.
26	The DEC Professional, "PACS Plus Relief for VAX/VMS Resource Management Headaches", February 1986, pp. 58-62, 64.
27	Software News, "LAN Applications Prices Are Not Easy to Set", April 1987, pp. 54, 56, 58.

EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.



RECEIVED

MAR 20 2001

Technology Center 2100

Page 3 of 7

Form PTO-1449 (MODIFIED)  <b>INFORMATION DISCLOSURE CITATION</b>  (Use several sheets if necessary)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.  230074.0230	SERIAL NO.  09/648,502
	APPLICANT  Mark E. Redding, et al.		
	FILING DATE  08/25/2000	GROUP ART UNIT  2185	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

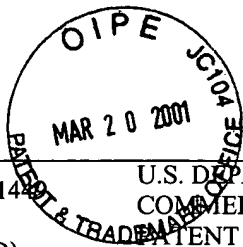
	28	SIGUCCS Newsletter, "Licensing of Microcomputer Software", Vol. 15, No. 4, Winter 1985, pp. 9-12.						
	29	AMC-SIGUCCS User Services Conference IX, "A Software Management System", Atlanta, Ga., October 11-14, 1981, pp. 9-17.						
	30	Brooks, C., "Experiences with Electronic Software Distribution", USENIX Summer Conference, Portland, Oregon, June 11-14, 1985, pp. 433-436.						
	31	Leiss, E., "On Authorization Systems with Grantor-Controlled Propagation of Privileges", CompCon 83, San Francisco, CA, Feb. 28-Mar. 3, 1983, pp. 499-502.						
	32	Houy, T., "The Challenge of Selling Software on the Internet", Electronic Software Distribution: White Paper, <a href="http://www.elan.com/corp/esd.htm">http://www.elan.com/corp/esd.htm</a> , 11/4/97, pp. 1-6.						
	33	IFOR/LS and EZ-LoK FAQ Product Information, <a href="http://www.gradient.com/support/techfaq/ifor/ezlok/ezprod.htm">http://www.gradient.com/support/techfaq/ifor/ezlok/ezprod.htm</a> , 11/7/97, pp. 1-3.						
	34	Harper, Jr., R., "Software Licensing For Installations With Multiple Microcomputers", Abstract No.: C86000243, Computers & Education, 1985, Vol. 9, No. 3, 1 page.						
	35	Cooper, F. et al., "Software Protection and Pricing in a LAN Environment", Abstract No. C86032120, Jurimetrics Journal, Winter 1986, Vol. 26, No. 2, 1 page.						
	36	Rainbow Technologies, "Sentinel License Manager - Getting Started - for Windows TCP/IP and Novell NetWare - Release 5.0", 1997, pp. i-v, 1-24.						
	37	Rainbow Technologies, "Notice for SentinelLM 5.0 UNIX Customers, 1997, 1 page.						
	38	Rainbow Technologies, "Sentinel License Manager - Integrator's Guide for NetWare - Release 5.0", 1997, pp. i-vi to IN-10.						

EXAMINER

DATE CONSIDERED

3/6/04

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.



MAR 22 2001

Technology Center 2100

Page 4 of 7

Form PTO-1449 (MODIFIED)  <b>INFORMATION DISCLOSURE CITATION</b>  (Use several sheets if necessary)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.  230074.0230	SERIAL NO.  09/648,502
	APPLICANT  Mark E. Redding, et al.		
	FILING DATE  08/25/2000	GROUP ART UNIT  2185	


## U.S. PATENT DOCUMENTS

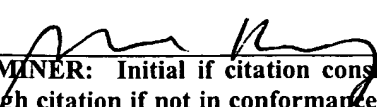
EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

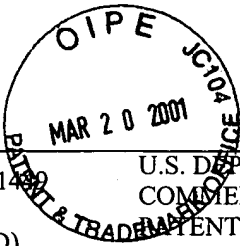
	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	39	Rainbow Technologies, "Sentinel License Manager - System Administrator's Guide for NetWare - Release 5.0", 1997, pp. i-1 to IN3.
	40	Rainbow Technologies, "Sentinel License Manager - Reference Manual - Release 5.0", 1997, pp. i-1 to IN12.
	41	Rainbow Technologies, "Sentinel License Manager - Integrator's Guide for UNIX - Release 5.0", 1997, pp. i-1 to IN10.
	42	Rainbow Technologies, "Sentinel License Manager - System Administrator's Guide for INIX - 5.0", 1997, pp. i-1 to IN4.
	43	Rainbow Technologies, "Sentinel License Manager - Integrator's Guide for Windows TCP/IP - Release 5.0", 1997, pp. i-1 to IN12.
	44	Rainbow Technologies, "Sentinel License Manager - System Administrator's Guide for Windows TCP/IP - Release 5.0", 1997, pp. i-1 to IN3.
	45	Rainbow Technologies, "Sentinel License Manager - Integration Guide - Release 6.0", 1998, pp. i to 130.
	46	Rainbow Technologies, "Sentinel License Manager - Programmer's Reference Manual - Release 6.0", 1998, pp. i to 187.
	47	Rainbow Technologies, "Sentinel License Manager - System Administrator's Guide - Release 6.0", 1998, pp. i to 62.
	48	Rainbow Technologies, "Notice for SentinelLM 6.0 UNIX Customers", March 6, 1998, pp. 1, 2.

EXAMINER  	DATE CONSIDERED  3/6/04
---	-------------------------------

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.



RECEIVED

MAR 22 2001

Technology Center 2100

Page 5 of 7

Form PTO-1439  
(MODIFIED)U.S. DEPARTMENT OF  
COMMERCE  
PATENT AND TRADEMARK  
OFFICE

ATTY. DOCKET NO.

230074.0230

SERIAL NO.

09/648,502

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

Mark E. Redding, et al.

FILING DATE

08/25/2000

GROUP ART UNIT

2185

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	49	Rainbow Technologies, "SentinelLM License Management System, Release 6.1, Release Notes", January 15, 1999, pp. 1-7.
	50	Rainbow Technologies, "Sentinel Engineering Product Release Notes, SentinelLM License Management System", Version No. 6.1, August 13, 1998, pp. 1-7.
	51	Rainbow Technologies, "Notice for SentinelLM 6.1 UNIX Customers", September 18, 1998, pp. 1, 2.
	52	Rainbow Technologies, "SentinelLM License Manager, System Administrator's Guide, Release 6.1", 1998, pp. i-61.
	53	Rainbow Technologies, "SentinelLM License Manager, Developer's Integration Guide, Release 6.1", 1998, pp. i-164.
	54	Rainbow Technologies, "SentinelLM License Manager, Evaluation Guide, Release 6.1", 1998, pp. i-23.
	55	Rainbow Technologies, "SentinelLM License Manager, Programmer's Reference Manual, Release 6.1", 1998, pp. i-191.
	56	Rainbow Technologies, "SentinelLM License Manager, SentinelLM Developer's Guide, Release 6.1", 1998, pp. i-127.
	57	Rainbow Technologies, "Notice for SentinelLM UNIX Customers: Installing from CD", February 26, 1999, pp. 1, 2.
	58	Rainbow Technologies, "SentinelLM License Management System, Release 6.2, Release Notes, February 12, 1999, pp. 1-11.
	59	Rainbow Technologies, "Notice for SentinelLM 6.1 UNIX Tandem Customers", February 16, 1999, pp. 1, 2.
	60	Rainbow Technologies, "Notice for SentinelLM 6.1 UNIX Customers", September 23, 1998, pp. 1, 2.

EXAMINER

DATE CONSIDERED

3/6/04

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.

RECEIVED

MAR 22 2001

Technology Center 2100

Page 6 of 7

Form PTO-1449  
(MODIFIED)U.S. DEPARTMENT OF  
COMMERCE  
PATENT AND TRADEMARK  
OFFICE

ATTY. DOCKET NO.

230074.0230

SERIAL NO.

09/648,502

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

Mark E. Redding, et al.

FILING DATE

08/25/2000

GROUP ART UNIT

2185

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

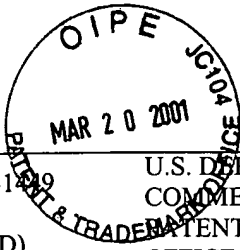
pk	61	Elan Computer Group, "Comparing Elan License Manager with other software license managers", White Paper, 6/15/95, pp. 1-5.						
	62	Elan Computer Group, "Elan License Manager, Questions and Answers", 8/95, G 0002556-0002562, pp. 1-6.						
	63	Elan Computer Group, "Elan License Manager, Technical Overview", July 1995, G 0002546-0002555, pp. 1-9.						
	64	Elan Computer Group, "Elan License Manager, Integrator's Guide for Windows, Release 5.0", rev. 01/31/97, ELAN 002589-002597, pp. i-viii.						
	65	Elan Computer Group, "Elan License Manager, System Administrator's Guide for Windows, Release 5.0", rev. 01/31/97, ELAN 002598-002602, pp. i-iv.						
	66	Elan Computer Group, "Elan License Manager, Reference Manual, Release 5.0", rev. 01/31/97, elan 002603-002609, pp. i-vi.						
	67	Common Licensing API, "License Service Application Programming Interface, API Specification v1.02", January 28, 1993, RTI 3389-3413- pp. i-22.						
	68	Auto-Trol Technology Corp., "Auto-Trol Software Protection Installation Guide", April 4, 1986, FF00016-00025, 10 pages.						
	69	Elan Computer Group, "Elan License Manager Technical Overview, 11/13/97, ELAN 001702-001757, pp. 1-9, 1-2, i-iii, 1-44.						
	70	Highland Software, Inc., "FLEXlm End User/Programmers Manual", 3/8/91, BP 00022-BP 00037, pp. 1-3, 9-11, 19-21, A1-A3, 45, 61, 62, 84, 85.						
	71	Auto-Trol Technology Corp., "FLEXlm Programmers Guide, December 1994", BP 00098-000137, pp. 1-36, 1-4.						
	72	Highland Software, Inc., "FLEXlm License Manager, Technical Overview", October, 1991, 8 pages.						

EXAMINER

DATE CONSIDERED

3/6/04

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.



RECEIVED

MAR 22 2001

Page 7 of 7

Form PTO-1419 (MODIFIED)  <b>INFORMATION DISCLOSURE CITATION</b>  (Use several sheets if necessary)	U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE	ATTY. DOCKET NO.  230074.0230	Technology Center 2100 SERIAL NO.  09/648,502
	APPLICANT  Mark E. Redding, et al.		
	FILING DATE  08/25/2000	GROUP ART UNIT  2185	

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO

## OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

	73	Globetrotter Software, Inc., "FLEXIm Programmers Guide for Windows, Version 5.11, March 1997, RTI 5219-5290, pp. i-65.
	74	Globetrotter Software, Inc., "FLEXIm End User Manual, Version 6.0, October 1997, RTI5129-5217, pp. 1-80.
	75	Globetrotter Software, Inc., "FLEXIm Reference Manual, Version 6.0, December 1997, RTI5291-5508, pp. i-206.
	76	Globetrotter Software, Inc., "FLEXIm Reference Manual, Version 6.1, January 21, 1999, RTI5509-5942.

EXAMINER

DATE CONSIDERED

3/6/04

\* EXAMINER Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.

#3

AUGUST 10, 2001

Sheet 1 of 1

Form PTO-1449  
(MODIFIED)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

230074/0230

SERIAL NO.

09/648,502

## SUPPLEMENTAL

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

APPLICANT

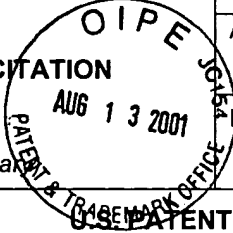
Redding et al.

FILING DATE

August 25, 2000

GROUP ART UNIT

2185



## U.S. PATENT DOCUMENTS

EXAMINER INITIAL	REF	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB- CLASS	FILING DATE IF APPROPRIATE
mk ↓		5,138,712	8/11/92	Corbin, John R.			
		5,745,879	4/28/98	Wyman, Robert M.			
		5,790,664	8/04/98	Coley et al.			
		5,862,348	1/19/99	Pedersen, Bradley J.			

RECEIVED

AUG 15 2001

Technology Center 2100

## FOREIGN PATENT DOCUMENTS

	REF	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB- CLASS	TRANSLATION	
							YES	NO
mk		2,316,503	8/22/96	UK				

## OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)

fox		PCT International Search Report as issued in International Application Number PCT/US00/24359, MAILING DATE 08/02/2001

EXAMINER

DATE CONSIDERED

3/6/04

\* EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include any copy of this form with next communication to applicant.